

Sample Subcontracting Plan

United States Department of Energy

And

Small Business Subcontracting Plan

Small Business Subcontracting Plan

Contractor Name: _____

Contractor Address: _____

City/State/Zip: _____

Company Phone: _____

Fax: _____

Point of Contact: _____

POC Phone _____

POC E-mail: _____

Contract Number: _____

Item/Service: _____

Total Amount of Contract (Including Options): _____

Period of Contract Performance (MO., Day & Year): _____

1. **Type of Plan** (check one)

_____ **Individual Contract Plan**-Individual contract Plan, as Used in this subpart, means a subcontract plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror's planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purpose may be allocated on a prorated basis to the contract.

_____ **Master Plan**-Master Plan, as used in this subpart, means a subcontracting plan that contains all of the required elements of the individual plan, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.

_____ **Commercial Products Plan**-Commercial Plan, as used in subpart, means a subcontracting plan that covers the offeror's fiscal year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division plant, or product line). The contractor must provide a copy of the approved plan. **NOTE:** A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial/items.

2. **Goals**

State separate dollar and percentage subcontracting goals for small business concerns, small disadvantaged business concerns, women-owned business concerns, service-disabled veteran-owned small businesses, and HUBZone small business concerns as subcontractors, for the basic contract and each option year, as specified in FAR 19.704. Include a description of the principal types of supplies and services to be subcontracted to each of the Target small business groups listed above. Include the North American Industrial Classification System (NAIC) codes for each supply and service. Supplemental (continuation) pages may be added to this Plan, if needed.

A. Total to be Subcontracted

Total dollars planned to be subcontracted (excluding ONLY purchases from foreign sources and company affiliates): \$_____.

B. Annual Goals

Total dollars and percent of subcontracting planned to be subcontracted with small businesses (including small disadvantaged businesses, women-owned small businesses, service-disabled veteran-owned small businesses, and HUBZone small businesses): (% of “A”)

\$ _____ and _____ %

- (1) Total dollar value and percent of subcontracting planned with small disadvantaged businesses: (% of “A”):

\$ _____ and _____ %

- (2) Total dollar value and percent of subcontracting planned with women-owned small businesses: (% of “A”):

\$ _____ and _____ %

- (3) Total estimated dollar value and percent of planned subcontracting to service-disabled veteran-owned small businesses: (% of “A”):

\$ _____ and _____ %

- (4) Total estimated dollar value and percent of subcontracting planned with HUBZone small businesses (% of “A”):

\$ _____ and _____ %

- (5) Total estimated dollar value and percent of subcontracting planned with other than small businesses (% of “A”):

\$ _____ and _____ %

Express the above dollars and percentages in the table below:

Small Business Category	Percent of Subcontracting Dollars (%)	Dollar Amount
Small Businesses		
Small Disadvantaged Businesses		
Women-owned Businesses		
Service-Disabled Veteran-owned Small Businesses		
HUBZone Businesses		
Other Than Small Businesses		

Provide a description of the principle types of supplies and services, in the table below, that are to be subcontracted and the identification of types of subcontracting planned for small businesses, small disadvantaged businesses, women-owned small businesses, service-disabled veteran-owned businesses, and HUBZone small businesses.

[illegible]

3. Method for Development of Goals

Provide a description of the method used to develop the subcontracting goals for small businesses, small disadvantaged businesses, women-owned small businesses, service-disabled veteran-owned small businesses, and HUBZone small businesses, i.e., explain the method used and state the quantitative basis, in dollars, used to establish the percentage goals. Also, state how the areas to be subcontracted to each target small business group was determined, and how the capabilities of these small businesses were determined. Include any source lists used in the determination process.

4. Indirect Costs

Indirect costs have been_____ have not been_____ included in the Dollar and percentage subcontracting goals stated above. (check one)

If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontract to small businesses, small disadvantaged businesses, women-owned small businesses, service-disabled veteran-owned small businesses, and HUBZone small businesses.

5. Program Administrator

Name: _____

Title: _____

Address: _____

Telephone: _____

Fax: _____

E-mail: _____

Duties:

The program administrator has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing subcontracting plans and monitoring performance relative to the requirements of this particular plan. These duties include, but are not limited to, the following activities:

A. Developing and promoting company-wide policy initiatives that demonstrate the company's support for awarding contracts and subcontracts to small business concerns, small disadvantaged business concerns, women-owned small business concerns, service-disabled veteran-owned small business concerns, and HUBZone small business concerns.

B. Assuring the integrity of supplier information in the Central Contractor Registration (CCR) through a series of controls that include a review of Certifications and Representations of new suppliers. Ensure that supplier NAICS codes and socioeconomic classifications are included in supplier descriptions.

C. Periodically monitoring the procurement staff and routinely provides new small business and socioeconomic business sources. Although the Program Administrator is not required to monitor credit card purchases because they are below the micro-purchase threshold of \$2,500, develop a small business supplier list for all credit card holders and periodically add new sources to the list.

D. Randomly reviewing procurements to ensure they permit the maximum possible participation of small businesses, small disadvantaged businesses,

women-owned small businesses, service-disabled veteran-owned small businesses, and HUBZone small businesses.

E. Randomly reviewing solicitations to remove statements clauses, etc., that restrict or prohibit maximum participation by small business concerns.

F. Randomly reviewing evaluation documentation when proposals/bids from small businesses are not selected for award.

G. Utilizing various sources for identifying small businesses.

H. Overseeing the establishment and maintenance of contract and subcontract award records.

I. Monitoring the compliance of subcontractors responsible for subcontracting plan requirements under “flow down” provisions.

J. Preparing, inputting, and submitting timely subcontracting reporting through the electronic Subcontracting Reporting System (eSRS).

K. Attending or arranging for the attendance of company counselors at small business workshops, seminars, procurement fairs, trade fairs, and conferences.

L. Ensuring that small business concerns are made aware of subcontracting opportunities, and ensure that these concerns are provided training through workshops on how to prepare responsive bids.

M. Conducting or arranging for training of purchasing personnel regarding implementation of the small business subcontracting program.

N. Ensuring that small businesses are made aware of the Credit Card Program and how to participate in it.

O. Conducting or arranging training for credit card holders in order to provide subcontracting opportunities to small businesses through credit card purchases.

P. Coordinating the facility’s activities during the conduct of compliance reviews by Federal agencies.

Q. Initiate actions for the contractor/facility to participate in DOE’s Mentor-Protégé Program.

6. Equitable Opportunity

The contractor agrees to ensure that small businesses, small disadvantaged businesses, women-owned small businesses, service-disabled veteran-owned small businesses, and HUBZone small businesses will have an equitable opportunity to compete for subcontracts. These efforts include, but are not limited to, the following activities:

A. Outreach efforts to obtain sources:

- (1) Contacting small, small disadvantaged, women-owned, service-disabled veteran-owned, and HUBZone associations.

Buyers are encouraged to use directories and databases of federal, state, local, and private organizations to reach small businesses.

- (2) Contacting federal, state, local, and private small business development organizations.
- (3) Attending and participating in procurement conferences, trade fairs, etc.
- (4) Obtaining sources from the CCR.
- (5) Utilizing the Internet to attract new sources.

B. Internal efforts to guide and encourage purchasing personnel

- (1) Presenting workshops, seminars, conferences, and training programs, including training to use the CCR.
- (2) Establishing, maintaining, and using small business source lists, guides, and other data for soliciting sources for subcontracts.
- (3) Monitoring activities to evaluate compliance with the subcontracting plan.
- (4) Maintain a list of trip reports and other documentation on the outreach activity attended, including new sources along with recommendations to buyers to include these sources in the next appropriate solicitation. Follow-up with buyers regarding the use of the new sources.

C. Outreach Events

- (1) Develop an annual list of outreach events and activities to attend

- and participate in.
- (2) Obtain a list of outreach activities to attend from the DOE Small Business Program Manager.

- (3) Tally the list of events attended by the end of the fiscal year.

D. Additional efforts to be undertaken:

- (1) Education courses for buyers, etc.
- (2) Develop a small business web page.
- (3) Acquisition planning to include small business subcontracting opportunities.
- (4) Partnering/teaming arrangements with small business subcontractors.
- (5) Develop an internal Small Business Policy, including a policy statement from the CEO, President, or Manager.

E. Utilization of External Small Business Advocates to Conduct the Small Business Subcontracting Program

- (1) Work with the SBA Procurement Center Representative.
- (2) Work with Small Business Develop Centers and Minority Business Development Centers
- (3) Work with Minority Supplier Development Councils.
- (4) Work with other small business organizations.

7. Flow-Down Clause

The contractor agrees to include the provisions under FAR 52.219-8, Utilization of Small Business Concerns,” in all subcontracts that offer further subcontracting opportunities. All subcontractors, except small business concerns, that receive subcontracts in excess of \$500,000 (\$1,000,000 for construction) must adopt and comply with a plan similar to the plan required by FAR 52.219-9 “Small Business Subcontracting Plan.” (FAR 19.704 (a)(4)).

Such plans will be reviewed by comparing them with the provisions of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals

shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small, small disadvantaged, women-owned, HUBZone, veteran-owned, service-disabled veteran-owned small businesses, and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractors' facilities to review applicable records and subcontracting program progress.

8. Reporting and Cooperation

The contractor gives assurance of (1) cooperation in any studies or surveys that may be required by the contracting agency or the SBA; (2) submission of periodic reports such as utilization reports, which show compliance with the subcontracting plan; (3) submission (timely) of small business subcontracting achievement data, formerly reported on the Standard Form (SF) 294 and/or 295, to the eSRS; and (4) ensuring that large business subcontractors with subcontracting plans agree to input to the eSRS.

9. Recordkeeping

The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records will include, but not be limited to, the following actions:

- A. A list of the sources, guides and other data used to identify suppliers and Vendors.
- B. Organizations contacted in an attempt to locate all categories of small business sources.
- C. Records to support other outreach efforts, e.g., contacts with small business trade associations, and attendance at conference, trade fairs, etc.
- D. Records to support internal guidance and encouragement, provided to buyers through: (1) workshops, seminars, training programs, incentive and other awards; and (2) monitoring of activities to evaluate compliance.
- E. On a contract-by-contract basis, records to support subcontract award data including the name, address and business size of each subcontractor. (This item is not required for company or division-wide commercial product plans.)
- F. The Program Administrator will maintain a list of eligible small business

Concerns recommended to buyers from CCR or other sources.

- G. All new vendors regardless of their classification will require “Representations and Certifications (Reps and Certs).” These reps and certs will be maintained in the files.

10. Mentor Protégé Program

The contractor shall provide the details of its plan to establish Mentor-Protégé agreement(s) in accordance with Section H.33 of the Request for Proposal.

This subcontracting plan was submitted by:

Signature: _____

Typed Name: _____

Title: _____

Office/Division: _____

Date Prepared: _____

Telephone: _____

Fax: _____

E-mail: _____

Approval:

Signature: _____

Typed Name: _____

Title: _____

Office and Routing Symbol: _____

Date Prepared: _____

Telephone: _____

Fax: _____

E-mail: _____